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## TRANSMITTAL FORM

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Submission

**7**\*

# Application Number 10/690,169 Filing Date October 21, 2003 First Named Inventor R. Kent Hermsmeyer Group Art Unit 1614 Examiner Name Attorney Docket Number HME/7961.0013

| ENCLOSURES (check all that apply)  |                        |   |  |   |  |  |  |  |  |
|--|------------------------|---|--|---|--|--|--|--|--|
| Fee transmittal for  |                        | Assignment Papers (for an application)  |  | After Allowance Communication to Group                            |  |  |  |  |  |
| ☐ Amendment<br>☐ After Final/ Re   | sponse                 | ☐ Drawing(s)  | <sup>¹</sup> ☐ Drawing(s)  |   |  |  |  |  |  |
| ☐Affidavits/De   | eclaration(s)          | Licensing Related Papers  |  | Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |  |  |  |  |  |
| ☐ Extension of Time  | Request                | ☐ Petition Routing Slip (PTO/SE and Accompanying Petition   | 3/69)  | ☐ Proprietary Information   |  |  |  |  |  |
| Express Abandonr   | nent Request           | Petition to Convert to a Provis   | sional   | Status Letter   |  |  |  |  |  |
| ☑Information Disclos   | ure Statement          | Power of Attorney, Revocation Change of Correspondence Additional | •  | Additional Enclosures (identify below)                            |  |  |  |  |  |
| ☐ Certified copy of P Documents  | riority                | ☐ Terminal Disclaimer   | 1 US Patent Reference<br>3 Non-US Patent References<br>8 Non-Patent References |   |  |  |  |  |  |
| Response to Missi Incomplete Applica   | •                      | ☐ Small Entity Statement  | o Non-Fatent Neierences  |   |  |  |  |  |  |
| ☐ Response to  | •                      | ☐ Request for Refund  |  |   |  |  |  |  |  |
| Under 37 CFR   | 1.52 or 1.53           | Remarks: * - plus references  |  |   |  |  |  |  |  |
|  | SIGNAT                 | URE OF APPLICANT, ATTORNE   | Y OR   | AGENT   |  |  |  |  |  |
| Firm or Individual Nam   | e                      | Howard Eisenberg, Esq.<br>2206 Applewood Court<br>Perkasie, Pennsylvania 18944  |  |   |  |  |  |  |  |
| Signature  |                        | HEW   |  |   |  |  |  |  |  |
| Date   |                        | February 9, 2004  |  |   |  |  |  |  |  |
|  | CERTIFICATE OF MAILING |   |  |   |  |  |  |  |  |
| I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450,  with sufficient postage as first class mail  as "Express Mail Post Office to Addressee" - mailing label no. |                        |   |  |   |  |  |  |  |  |
| Type or print name   | Howard Eise            | nberg   |  |   |  |  |  |  |  |
| Signature  | THE                    | 2   | Date   | February 9, 2004  |  |  |  |  |  |

| EE TRANSMITTAL  |              |                    |              |               | Complete If Known  |             |  |
|---|--------------|--------------------|--------------|---------------|--|-------------|--|
| -cv   |              | Application Number |              |               | 10/690,169   | 10/690,169  |  |
| for FY 2004   |              | Filing C           | ate          |               | October 21, 2003   | -           |  |
| Effective 10/01/2003. Patent fees are subject to annual revis   | ion.         | First Na           | amed I       | nventor       | R. Kent Hermsmeyer   |             |  |
|   |              | Examin             | er Nar       | ne            |  |             |  |
| Applicant claims small entity status. See 37CFR 1.27  |              | Art Uni            |              |               | 1614   |             |  |
| TOTAL AMOUNT OF PAYMENT \$0   |              | Attorne            | y Dock       | et No.        | HME/7961.0013  | <del></del> |  |
| METHOD OF PAYMENT (check all that apply)  | Ţ            |                    |              | FEE           | CALCULATION (continued)  |             |  |
| ☐ Check ☐ Credit ☐ Money ☐ Other ☑ None   | 3. AD        | DITION             | AL FE        | ES            |  |             |  |
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| Deposit Account   | Fee<br>Code  | Fee (\$)           | Fee<br>Code  | " Fee<br>(\$) | Fee Description F  | ee Paid     |  |
| Deposit Account<br>Number 50-1773   | 1051         |                    | 2051         |               | urcharge - late filing fee or oath   |             |  |
| Deposit Account Howard Fisenberg  | 1052         | 50                 | 2052         | 25 S          | urcharge-late provisional filing fee or cover                                |             |  |
| Name The Commissioner is authorized to:(check all that apply)   | 1053         | 130                | 1053         |               | neet<br>on-English specification   |             |  |
| Charge fees indicated below Credit any overpayments   | 1812         | 2,520              |              |               | or filing a request for ex-parte reexamination                               |             |  |
| Charge any additional fee(s) during the pendency of this  | 1804         | 920*               | 1804         |               | equesting publication of SIR prior to Examiner                               |             |  |
| application   |              |                    |              | ac            | ction  |             |  |
| Charge any fee(s) indicated below, except for the filing fee to the above-identified deposit account. | 1805         | 1,840*             | 1805         |               | equesting publication of SIR after Examiner stion                            |             |  |
| above tabilities aspess, account.   | 1251         | 110                | 2251         | 55 Ex         | xtension for reply within first month  |             |  |
| FEE CALCULATION   | 1252         |                    | 2252         |               | xtension for reply within second month                                       |             |  |
| 1. BASIC FILING FEE   | 1253         |                    | 2253         |               | xtension for reply within third month  |             |  |
| Large Entity Small Entity Fee Description Fee Paid  Code (\$) Code (\$)                               | 1254         | 1,480<br>2,010     |              |               | xtension for reply within fourth month xtension for reply within fifth month |             |  |
| 1001 770 2001 385 Utility filing fee  | 1401         |                    | 2401         | •             | otice of Appeal  | -           |  |
| 1002 340 2002 170 Design filing fee   | 1402         |                    | 2402         |               | ling a brief in support of an appeal   |             |  |
| 1003 530 2003 265 Plant filing fee  | 1403         | 290                | 2403         | 145 R         | equest for oral hearing  |             |  |
| 1004 770 2004 385 Reissue filing fee  | 1451         | 1,510              | 1451         | 1,510 Pe      | etition to institute a public use proceeding                                 |             |  |
| 1005 160 2005 80 Provisional filing fee   | 1452         |                    | 2452         |               | etition to revive - unavoidable  |             |  |
| SUBTOTAL (1) \$0  | 1453         | 1,330              |              |               | etition to revive - unintentional  | $\Box$      |  |
| 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE   | 1501<br>1502 | 1,330              | 2501<br>2502 |               | illity issue fee (or reissue)<br>esign issue fee                             |             |  |
| Fee from  | 1502         |                    | 2503         |               | ant issue fee  |             |  |
| Extra Claims below Fee Paid  Total Claims 23 - 23 **= 0x 9 = 0  | 1460         |                    | 1460         |               | ant issue ree  |             |  |
| Indep. Claims 2 - 3 **= 0x 43 = 0   | 1807         |                    | 1807         |               | rocessing fee under 37 CFR 1.17(q)   |             |  |
| Multiple Dependent =  | 1806         |                    | 1806         |               | ubmission of Information Disclosure Stmt.                                    |             |  |
| Large Entity   Small Entity   Fee Description   | 8021         |                    | 8021         | 40 Re         | ecording each patent assignment per property                                 |             |  |
| Fee Fee Fee<br>Code (\$) Code (\$)  | 4000         | 770                | 0000         |               | mes no. of properties) - total assignments 1                                 |             |  |
| Code (\$) Code (\$)<br>1202 18 2202 9 Claims in excess of 20  | 1809         | 770                | 2809         |               | ling a submission after final rejection 7 C.F.R. 1.129(a))                   |             |  |
| 1201 86 2201 43 Independent claims in excess of 3   | 1810         | 770                | 2810         |               | or each additional invention to be examined                                  |             |  |
| 1203 290 2203 145 Multiple dependent claim, if not paid   | 1801         | 770                | 2801         |               | 7 CFR 1.129(b)) equest for Continued Examination (RCE)                       |             |  |
| 1204 86 2204 43 **Reissue independent claims over original patent                                     | 1802         |                    | 1802         |               | equest for expedited examination of a design optication                      |             |  |
| 1205 18 2205 9 *Reissue claims in excess of 20 and over original patent                               | Other        | fee (sp            | ecify)       | ·             |  |             |  |
| SUBTOTAL (2) \$0  | * Reduc      | ed by Ba           | sic Fili     | ng Fee Paid   | d SUBTOTAL (3)   | \$0         |  |
| **or number of previously paid, if greater. For reissues, see above.                                  |              |                    |              |               | · · · · · · · · · · · · · · · · · · ·  |             |  |

Registration No.

36,789

Telephone

Date

Complete (if applicable)

(215) 453-9237

February 9, 2004

SUBMITTED BY

Name (print type)

Signature

Howard Eisenberg, Esq.





#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#### PATENT APPLICATION EXAMINING OPERATIONS

In re the Application of

R. Kent Hermsmeyer : Group Art Unit: 1614

Serial No. 10/690,169 : Examiner:

Filed: October 21, 2003 : Date: February 9, 2004

For a Patent for : ESTROGEN BETA RECEPTOR AGONISTS TO PREVENT OR REDUCE THE SEVERITY OF CARDIOVASCULAR DISEASE

### INFORMATION DISCLOSURE STATEMENT IN ACCORDANCE WITH 37 CFR §1.98

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

Applicant submits herewith copies of patents and publications of which he is aware and which he desires to have considered by the Patent Office in accordance with 37 CFR §1.97. In accordance with 37 CFR §1.97(b)(3), this Information Disclosure Statement is being submitted before the mailing date of a first Office Action on the merits of the above-identified application.

In accordance with 37 CFR §1.97(h), the filing of this Information Disclosure Statement will not be regarded as an admission that any patent or publication or combination of patents referred to herein is, or is considered to be, material to patentability under 37 CFR §1.56(b) unless specifically designated as such.

A list of the patents and publications enclosed herewith is set forth on the attached 3 pages of Information Disclosure Statement by Applicant.

The person making this statement is the attorney who signs below on the basis of the information supplied by the inventor and the information in his file.

Respectfully submitted,

Howard M. Eisenberg

Reg. No. 36,789

2206 Applewood Court Perkasie, PA 18944

Attornov for Applican

Attorney for Applicant Tel: (215) 453-9237

101. (213) 133 7237

#### **CERTIFICATE OF MAILING**

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Dated: 2/9/04

Howard M. Eisenberg

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Sheet

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

of

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| Application Number    | 10/690,169         |  |  |  |  |
|-----------------------|--------------------|--|--|--|--|
| Filing Date           | October 21, 2003   |  |  |  |  |
| First Named Inventor  | R. Kent Hermsmeyer |  |  |  |  |
| Group Art Unit        | 1614               |  |  |  |  |
| Examiner Name         |                    |  |  |  |  |
| Attorney's Docket No. | HME/7961.0013      |  |  |  |  |

|                    |             |                         | U.S. Patent Docume                                 | nts                                   |   |  |
|--------------------|-------------|-------------------------|--|---------------------------------------|---|--|
| Examine r Initials | Cite<br>No. | U.S. Patent<br>Document | Name of Patentee or<br>Applicant of Cited Document | Date of Publication of Cited Document | Pages, columns, lines where passages or |  |
|                    |             | Number Kind<br>Code     |  | MM-DD-YY                              | relevant figures appear                 |  |
| ** •               | AA          | 6,476,196               | Ljunggren et al                                    | 11-05-02                              | Cols 17 to 414 not provided             |  |
|                    | ΑВ          |                         |  |                                       |   |  |
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| Sheet    | 2 | of | 3 |                                       | Inventor:      | Hermsmeyer                            |
|----------|---|----|---|---------------------------------------|----------------|---------------------------------------|
| <u> </u> |   |    |   | · · · · · · · · · · · · · · · · · · · | - <del>-</del> | · · · · · · · · · · · · · · · · · · · |

| or!             | FOREIGN PATENT DOCUMENTS |                             |              |    |  |                                       |                                     |    |  |  |  |  |  |
|-----------------|--------------------------|-----------------------------|--------------|----|--|---------------------------------------|-------------------------------------|----|--|--|--|--|--|
| r Initials No.1 |                          | FOREIGN PATENT<br>DOCUMENTS |              |    | Name of Patentee or Applicant of Cited | Date of Publication of Cited Document | Pages, columns, lines where         | T² |  |  |  |  |  |
|                 |                          | Office<br>code              | Number K     | nd | Document                               | MM-DD-YY                              | passages or relevant figures appear |    |  |  |  |  |  |
|                 | ВА                       | GB                          | 834913       |    | Organon<br>Laboratories, Ltd.          | 05-11-60                              |                                     |    |  |  |  |  |  |
|                 | вв                       | PCT                         | WO 00/01716  |    | Karo Bio AB                            | 01-13-00                              |                                     |    |  |  |  |  |  |
|                 | ВС                       | EPO                         | EP 0 798 378 | B1 | Akzo Nobel N.V.                        | 01-16-02                              |                                     |    |  |  |  |  |  |
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| Examiner  | Date           |  |
|-----------|----------------|--|
| Signature | <br>Considered |  |

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language translation is attached.

| Eshee     | et         | 3  | of   | 3  |                                       |   |   | Inventor:                               | Hermsmeyer                                     |  |  |  |  |
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| 1 2004    | 1 35<br>35 |  |  |  |                                       | ı |   |   |  |  |  |  |  |
| , se      |            |  |  | OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS  |                                       |   |   |   |  |  |  |  |  |
| r Initial | ine<br>Is  |  | Cite, No. Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published |  |                                       |   |   |   |  |  |  |  |  |
|           |            | C A  |  |  |                                       |   |   | mate coronary v<br>SEB J. 12:1419-      | ascular muscle cell<br>1429 (1998)             |  |  |  |  |
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|           |            | C F  |  |  |                                       |   |   |   | ig-induced coronary<br>45-H2654 (1997)         |  |  |  |  |
|           |            | C G SZAPARY et al, Opposing effects of corepressor and coactivators in determining the dose-response curve of agonists, and residual agonist activity of antagonists, for glucocorticoid receptor-regulated gene expression, Molecular Endocrinology 13(12):2108-2121 (1999) |  |  |                                       |   |   |   |  |  |  |  |  |
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|           |            | СІ   |  |  |                                       |   |   |   |  |  |  |  |  |
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|           |            | CI   |  |  |                                       |   |   |   |  |  |  |  |  |

| Examiner  | Date       |  |
|-----------|------------|--|
| Signature | Considered |  |

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language translation is attached.